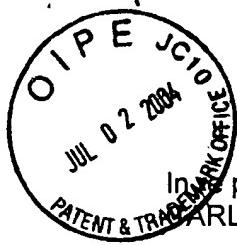


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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of  
CARL FREDERICK NELSON, ET AL.

Serial No.: 10/757,953

Filed: January 15, 2004

Confirmation No.: 5052

For: SYSTEM AND METHOD FOR  
PROVIDING CUSTOMIZED, EFFECTIVE,  
RISK BASED ETHICS AND  
COMPLIANCE TRAINING AND  
INFORMATION USING A NETWORK

Group Art Unit: 3712

Examiner: To be assigned.

I hereby certify that this correspondence and/or fee is being deposited with the United States Postal Service as first class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

*[Handwritten Signature]*  
6/29/04  
(Signature)  
Date of Deposit  
6/29/04  
Date)

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Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

#### INFORMATION DISCLOSURE STATEMENT

Dear Sir:

In accordance with the provisions of 37 C.F.R. Sections 1.97 and 1.98, applicants and their attorney respectfully request that the following patents, patent publications, documents and screen shots from the internet, copies of which are attached hereto, be made of record in the official United States Patent and Trademark Office file relating to the above-identified application. The citation of these patents, patent publications, documents and screen shots from the internet should not be construed as an admission that they constitute prior art with respect to the present invention.

#### U.S. Patents

- 5,489,213
- 5,820,386
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Other Documents

Leslie A. Gordon, "Breaking", California Lawyer, August 2000, pp.32-34

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Article beginning "Desktop Legal Advice..." source and date uncertain, potentially from Wall Street Journal, December 16, \_\_\_\_

Julia Mitchell, "Firms Keep Workers In The Know With Customized Internet Courses", Investor's Business Daily

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"HR Comply, Compliance for Human Resources Professionals, Title VII Plus: Harassment and Discrimination Training Program Executive Overview", HR TurnKey Training System

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"How to Prevent Sexual Harassment & Hostile Work Environments", StepsBeyond, November 12, 1999, [www.stepsbeyond.com](http://www.stepsbeyond.com)

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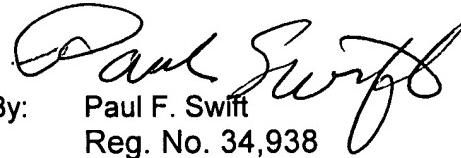
HR Comply, "HR Turnkey Training System, December 22, 2000, [www.hrcomply.com](http://www.hrcomply.com)

In order to facilitate the Examiner's citation of the patents and patent publications listed above, applicants' attorney has completed United States Patent and Trademark Office Form PTO-1449. The completed Form is attached hereto for the Examiner's convenience.

No fees are believed to be due in connection with the submission of this Information Disclosure Statement. However, if any such fees are due, including extension and petition fees, the Examiner is hereby authorized to charge them to Deposit Account No. 501402.

Respectfully Submitted,

McCARTER & ENGLISH

  
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NWK2: 1194018.01

Form PTO-1449	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. 94992-00001	Serial No. 10/757/953
O P E J C I O INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		Applicant Carl Frederick Nelson, et al.	
		Filing Date January 15, 2004	Group Art Unit 3712

## U. S. PATENT DOCUMENTS

*Examiner Initial	Document Number								Date	Name	Class	Sub-class	Filing Date If Appropriate
AA	5	4	8	9	2	1	3		02/16/96	Makipaa			
AB	5	8	2	0	3	8	6		10/13/98	Sheppard, II			
AC	6	1	4	6	1	4	8		11/14/00	Stuppy			
AD	6	2	9	6	4	8	7		10/2/01	Lotecka			
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AL	Leslie A. Gordon, "Breaking", California Lawyer, August 2000, pp.32-34
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AO	Article beginning "Desktop Legal Advice..." source and date uncertain, potentially from Wall Street Journal, December 16,
AP	Julia Mitchell, "Firms Keep Workers In The Know With Customized Internet Courses", Investor's Business Daily
AQ	Integrity Interactive Corporation, "Web-Based Compliance Training, March 28, 2000
AR	"HR Comply, Compliance for Human Resources Professionals, Title VII Plus: Harassment and Discrimination Training Program Executive Overview", HR TurnKey Training System
AS	"103 – Sexual Harassment – Recognizing & Preventing – Manager's Edition", Corpedia Training Technologies, L.L.C., 1999
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AV	Interactive Employment Inc., "Guidebook For What Everyone Needs To Know About Sexual Harassment: The Video", October 5, 1999, <a href="http://www.hrtrain.com">www.hrtrain.com</a>
AW	"Sexual Harassment: What H R Professionals Need to Know", October 5, 1999, <a href="http://www.hrtrain.com">www.hrtrain.com</a>
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	BC		Interactive Employment Training, Inc., Cook Information Technologies, "What Supervisors Need To Know About Sexual Harassment", <a href="http://www.cookit.com">www.cookit.com</a>
	BD		HR Comply, "HR Turnkey Training System, December 22, 2000, <a href="http://www.hrcomply.com">www.hrcomply.com</a>
Examiner			Date Considered
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			